

021004

3281 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 2004\_0208

First Named Inventor : Hiroshi SOTOZAKI et al.

Title: METHOD AND APPARATUS FOR POLISHING A SUBSTRATE

Express Mail Label No:

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form  
 (Submit an original, and a duplicate for fee processing)
2. ☐ Small Entity Status is hereby asserted.
3. ☒ Specification [Total Pages: 29]  
 (preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Sequence Listing, a table, or a computer program listing appendix.
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets: 10]
5. ☒ Oath or Declaration : [Total Pages : 3]
  - a.1. ☐ Newly executed (original or copy)
  - a.2. ☐ Unexecuted.
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
 (for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or computer program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ The paper and computer readable copies are identical

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449  
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).  
 Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other Claim of Priority under 119

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or in an Application Data Sheet :

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 10/283,154

Prior Application Information Examiner Sylvia MacArthur


Group Art Unit 1763

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

CUSTOMER NO.  
 000513

By:

  
 Joseph M. Gorski  
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February 10, 2004

17497 U.S. PTO  
 10/774489

021004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Attn: APPLICATION BRANCH**  
Hiroshi SOTOZAKI et al. : Attorney Docket No. 2004\_0208  
Serial No. NEW :  
Filed February 10, 2004 :

METHOD AND APPARATUS FOR  
POLISHING A SUBSTRATE  
(Rule 1.53(b) Continuation  
of Serial No. 10/283,154,  
Filed October 30, 2002, which is a divisional  
of Serial No. 09/434,482, filed November 5, 1999)

**PATENT OFFICE FEE TRANSMITTAL FORM**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached hereto is a check in the amount of \$788.00 to cover Patent Office fees relating to filing the following attached papers:

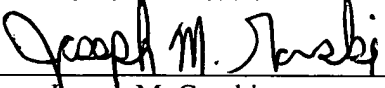
Rule 53(b) application ..... \$770.00  
Additional Claims Fee  
Excess of Twenty ..... \$18.00

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

Respectfully submitted,

Hiroshi SOTOZAKI et al.

By   
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February 10, 2004

[Check No. 60114]

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